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4 April 1996

Ms. Crystal Riley  
DTIC-OMI  
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Fort Belvoir, VA 22060-6218

Dear Ms. Riley:

I wish to submit the enclosed document to the DTIC on behalf of the Joint Force Directorate of the Ballistic Missile Defense Organization. The memorandum is unclassified and its subject is "Standard Operating Procedures for the Commanders-in-Chief Theater Missile Defense Assessment Program." Also enclosed are the Standard Form 298 (Report Documentation Page) and DTIC Form 50.

Please contact me at (703) 351-7253 if there are any problems. Thank you.

*Thomas L. Bruen*  
Thomas L. Bruen  
SRS Technologies

enclosures: As stated

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19960417 026

# REPORT DOCUMENTATION PAGE

Form Approved  
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1. AGENCY USE ONLY (Leave blank)	2. REPORT DATE 19 APRIL 1995	3. REPORT TYPE AND DATES COVERED MEMORANDUM
4. TITLE AND SUBTITLE STANDARD OPERATING PROCEDURES FOR THE COMMANDER IN CHIEF THEATER MISSILE DEFENSE ASSESSMENT PROGRAM		5. FUNDING NUMBERS PMA 3265
6. AUTHOR(S) LTC SCOTT VICKERS		
7. PERFORMING ORGANIZATION NAME(S) AND ADDRESS(ES) JOINT FORCE DIRECTORATE BALLISTIC MISSILE DEFENSE ORGANIZATION 7100 DEFENSE PENTAGON WASHINGTON, DC 20301-7100		8. PERFORMING ORGANIZATION REPORT NUMBER
9. SPONSORING/MONITORING AGENCY NAME(S) AND ADDRESS(ES) BALLISTIC MISSILE DEFENSE ORGANIZATION 7100 DEFENSE PENTAGON WASHINGTON DC 20301-7100		10. SPONSORING/MONITORING AGENCY REPORT NUMBER
11. SUPPLEMENTARY NOTES		
12a. DISTRIBUTION/AVAILABILITY STATEMENT UNLIMITED		12b. DISTRIBUTION CODE
13. ABSTRACT (Maximum 200 words) THE COMMANDER-IN-CHIEF THEATER MISSILE DEFENSE ASSESSMENT PROGRAM OF THE BALLISTIC MISSILE DEFENSE ORGANIZATION, IS A PROGRAM THAT ASSISTS THE WARFIGHTING COMMANDERS-IN-CHIEF IN ASSESSING THEIR TMD CAPABILITIES. IT PROVIDES NECESSARY FUNDING FOR EXERCISES THAT EXPLORE NEW TMD SYSTEMS AND OPERATIONAL CONCEPTS/PROCEDURES. THIS DOCUMENT DESCRIBES THE PROGRAM MANAGEMENT CONCEPT AND STANDARD OPERATING PROCEDURES FOR THE PLANNING AND EXECUTION OF THE CINCs TMD ASSESSMENT PROGRAM.		
14. SUBJECT TERMS CINCs TMD ASSESSMENT PROGRAM THEATER MISSILE DEFENSE		15. NUMBER OF PAGES 12
		16. PRICE CODE
17. SECURITY CLASSIFICATION OF REPORT UNCLASSIFIED	18. SECURITY CLASSIFICATION OF THIS PAGE UNCLASSIFIED	19. SECURITY CLASSIFICATION OF ABSTRACT UNCLASSIFIED
		20. LIMITATION OF ABSTRACT UL

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DEPARTMENT OF DEFENSE  
BALLISTIC MISSILE DEFENSE ORGANIZATION  
7100 DEFENSE PENTAGON  
WASHINGTON, DC 20301-7100

BMDO/AQJ

19 April 1995

MEMORANDUM FOR See Distribution

SUBJECT: Standard Operating Procedures for the Commanders In Chief Theater Missile Defense Assessment Program.

PURPOSE. This Standard Operating Procedure is published to provide guidance to the theater staffs and supporting agencies on the procedures used to manage and implement the CINCs' TMD Assessments Program.

GENERAL.

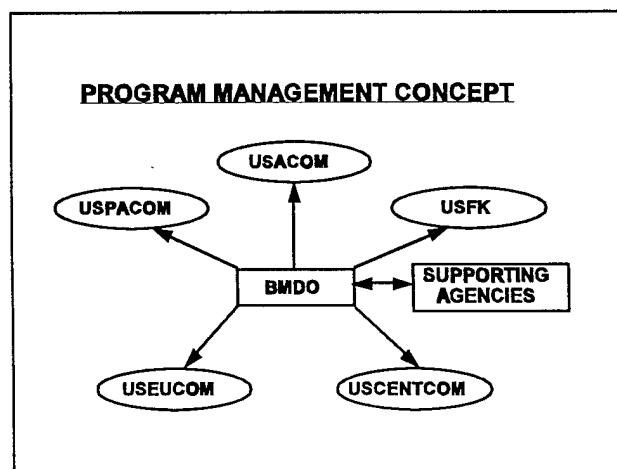
The Commanders In Chief (CINCs) Theater Missile Defense (TMD) Assessment Program is funded and supported by the Ballistic Missile Defense Organization (BMDO) to encourage theater commanders to assess their TMD capabilities and requirements, explore new technological solutions to TMD problems, develop operating procedures, and explore ways to improve TMD capabilities. BMDO recognizes a need to work with the warfighter to determine the CINCs' operational requirements and to assist in improving near-term capabilities to execute the TMD mission. The CINCs' TMD Assessment Program provides a means to those ends. The theater commanders benefit because this program helps to underwrite the cost of incorporating TMD events into their training programs, thereby increasing the depth and significance of these events. The result is improved TMD capabilities, comprehensive training, and a basis for development of TMD doctrine.

The theater commanders are the focus of this program. All effort under this program is directed toward enhancing their TMD capabilities. In this light, the theater commanders' TMD representatives drive the planning and programming of funds for this program. BMDO's mission is to allocate resources to the program, facilitate planning and coordination, provide required expertise and manpower, record observations from the program, and disseminate these results so that the entire TMD community benefits. All other participating agencies perform a supporting role, with the CINCs as the beneficiaries.

Figure 1.

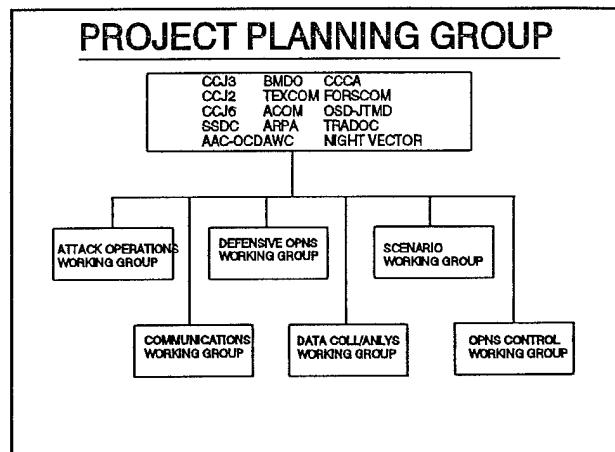
ORGANIZATION.

BMDO manages the CINCs' TMD Assessment Program using an organization as shown in Figure 1. This figure shows the flow of support to the CINCs. There are a number of government organizations which provide support to the CINCs' TMD Assessments Program. These organizations facilitate management decisions for BMDO and make resources available to support the program. BMDO applies this support to the TMD Assessments either directly or through contracted support provided to the theater.



Each theater supported by the CINCs' TMD Assessment Program is encouraged to establish a Project Planning Group. Membership on the Project Planning Group should consist of those critical personnel necessary to make informed decisions governing the assessments. Membership should include (as a minimum) the Theater TMD Assessment Coordinator, BMDO, and the chief of each of the Project Working Groups. The CINC determines what Project Working Groups are required to support his assessment. Typically Project Working Groups are established for active defense, attack operations, passive defense, C<sup>4</sup>I, simulation, scenario, and data collection. Representation on the Project Working Groups consist of those organizations supporting the working group's objectives. The CINCs have the freedom to organize these working groups to maximize efficiency within their theater and to tailor them to their specific needs. Figure 2. shows the organization of USCENTCOM Project Planning Group for FY 95 as an example.

Figure 2.



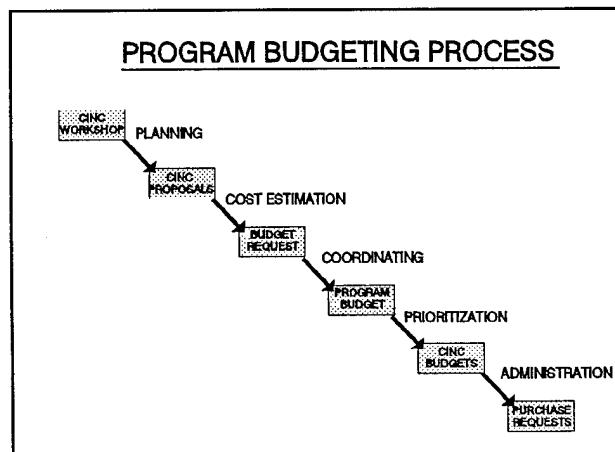
## FUNDING.

While BMDO is responsible for obtaining funding for the program, development of a budget for the program is a cooperative effort. A detailed budget enables the smooth application of funds to support the assessments and can be used to protect the program from budget cuts. The funding process can be divided into three separate efforts: POM programming, Planning Year Budgeting, and Execution Year Budgeting.

BMDO projects requirements for the CINCs' TMD Assessments Program and provides input to the POM. BMDO uses a mixture of CINC input, historical information, and anticipated budget constraints to develop the POM funding levels.

The Planning Year is defined by the activities performed to prepare for the following fiscal year TMD Assessments. CINCs conduct informal planning during the 1st quarter of the Planning Year. During this period the CINCs should develop general objectives for their assessments and target specific exercises for the execution of these objectives. Formal planning begins during the second quarter of the Planning Year. The activities performed as part of the formal process are shown in Figure 3. BMDO kicks off the formal planning process with a CINCs' TMD Assessments Workshop. During the workshop BMDO provides planning guidance to the CINCs. This guidance includes the expected availability of funds and

Figure 3.



any specific effort BMDO desires to see incorporated in the program for the Planning Year. The CINCs then brief their objectives for Planning Year assessments and the exercises targeted for conducting them. Representatives from various doctrine and hardware development agencies are invited to present to the CINCs their concepts or technologies for possible inclusion in the program. The CINCs are then given a suspense to prepare and submit to BMDO a proposed concept for the Planning Year assessments and expected costs required to support them.

The theater's Project Planning Group refines objectives for the Planning Year assessments and develops resource requirements. The Project Planning Group may task potential supporting agencies to develop cost proposals or options. Any organization desiring to participate in the Planning Year Assessments should work closely with the appropriate CINCs Project Planning Group to ensure that their effort is integrated. The final product of this endeavor is a proposal for the theater's assessment program for the Planning Year. The proposal format is included at ANNEX A.

Upon receipt of the CINC proposals for the Planning Year, BMDO/AQJ reviews the theater concepts and funding requirements. BMDO/AQJ consolidates the proposals and compares the consolidated proposal to the available funding level for the program. If sufficient funds are not available to support the consolidated package, BMDO/AQJ presents the proposal to BMDO/AQ and requests additional funding. BMDO/AQJ monitors congressional and presidential budget reviews for potential impact on the proposals. After the funding level for the Planning Year is finalized, BMDO/AQJ examines funding shortfalls and recommends to BMDO/AQ a prioritized funding plan to support each theater's assessments. Once this funding plan is approved by BMDO/AQ, a final Assessment Budget is provided to each theater. Throughout this process BMDO/AQJ maintains communications with the theaters and coordinates specific issues associated with the funding process.

After BMDO releases a final Assessment Budget to each theater, the Project Planning Groups should review the budget and assess the impact on Assessment Plans. Typically, CINC proposals exceed the availability of funds to support the program. The theaters then prioritize assessment activities and incorporate other sources of funding to maximize the quality of the assessments. The CINCs prepare an Assessment Budget which is used to manage the assessment effort and provide a copy to BMDO/AQJ. These budgets should be submitted to BMDO/AQJ prior to the beginning of the Execution Year.

As the CINCs provide Assessment Budgets, BMDO/AQJ disburses the funds to the appropriate organizations to support the assessments. During the Execution Year BMDO/AQJ retains the funds for the program in a BMDO account. BMDO/AQJ performs this service to prevent funds from being spent outside the purview of the program and to economize effort where possible. Typically, it takes 3-5 weeks from initiation of a funding transaction in BMDO until it is available to the using agency.

BMDO/AQJ does not retain a management reserve in the CINC TMD Assessment Program account. All funds are allocated to the theaters. Agencies expecting to have their supporting effort funded by the CINC TMD Assessments Program must ensure that their funding requirements are included in the CINC budgets. BMDO/AQJ will accommodate budget changes submitted by the theaters, so long as they do not exceed the funding level cap.

BMDO/AQJ retains the authority to alter theater funding levels during the Execution Year. BMDO/AQJ will alter funding only in the situations listed below.

1. Funding for the program is decreased, thereby forcing subsequent decreases in the

funding for one or more theaters.

2. Agreement between theaters to move the funding from one theater to another.

3. Cancellation of an assessment opportunity in a theater makes funds available for use in another theater.

4. BMDO/AQJ is directed by BMDO/AQ to alter funding levels.

## PLANNING/PREPARATION.

During the Planning Year, the CINCs develop assessment objectives and cost estimates associated with those objectives. The CINC must be able to plan and execute an assessment, while resourcing the following year's effort. When a theater's assessments are completed for the year, planning for the next year begins in earnest.

Planning for TMD Assessments will normally be performed through a series of In-Process Reviews. The CINCs and BMDO, together, develop objectives for each IPR to ensure the effort is productive. Most IPRs should be performed in theater, minimizing travel requirements for the CINCs. The theater should plan at least one IPR in the Washington, D.C. area to facilitate coordination with agencies based in the Washington, D.C. area. The number of IPRs and agenda will depend on the level of complexity associated with an assessment and the number of assessments performed during the year. A typical IPR schedule is as follows:

TIME	OBJECTIVES
(M - x)	(Execution month - x months)
M - 11	<p>Review accomplishments, lessons learned, and problems discovered in the completed assessment.</p> <p>Develop detailed objectives for upcoming assessment.</p> <p>Establish work groups and assign leadership responsibilities.</p> <p>Budget Review</p>
M - 10	<p>Review assessment objectives.</p> <p>Identify execution events which support objectives.</p> <p>Integrate new players into working groups.</p>
M - 9	<p>Determine specific data collection requirements.</p> <p>Determine simulation requirements.</p> <p>Determine communication requirements.</p> <p>Determine training requirements.</p>
M - 8	<p>Initiate development of an Assessment Concept of Operations</p> <p>Budget Review</p>
M - 7	<p>Initial draft CONOPs complete.</p> <p>Initiate development of simulation support plan.</p> <p>Initiate development of communications plan.</p> <p>Initiate development of a data collection and</p>

analysis plan.

- M - 6      Review simulation support plan.
  - Review communications plan.
  - Review data collection and analysis plan.
  - Design after action review procedures.
  - Initiate update of Assessment CONOPs
- M - 5      2nd Draft CONOPs Complete
  - Coordinate administrative details
  - Budget Review
- M - 4      Washington, D. C. IPR
  - Coordinate with Washington, D.C. agencies.
- M - 3      Publish Final CONOPS
  - Supporting agency briefings
- M - 2      Resolution of Open Issues.
- M - 1      Resolution of Open Issues.

If the theater uses a communications working group, a simulations working group, and/or a data collection working group, it is advisable to schedule a session early on where these working groups meet independently with the attack operations working group, the active defense working group, and the passive defense working group. These meetings can help build a cohesive assessment package where the supporting plans enhance assessment execution.

As part of the planning and preparation process, the CINCs prepare a Concept of Operations (CONOPS) for the TMD assessment. The CONOPS addresses assessment objectives, describes assessment events and environment, and shows how these events are used to address the objectives. The CINCs may elect to prepare separate communications, simulation support, and data collection and analysis plans. If separate plans are not prepared, these areas should also be addressed in the CONOPS.

Occasionally, there will be agencies participating in a CINC TMD Assessment who desire to initiate events and data collection for their own purposes. If the CINC desires to accommodate external requirements, the data collection effort will be consolidated under the direction of the data collection working group chief. Consolidating the data collection effort will help preclude two differing results showing up in separate reports and ensure that the theater has access to the full range of data collected.

## TRAINING.

Training is not the purpose of the CINCs' TMD Assessments Program; however, successful execution of a TMD Assessment is reliant on thorough preparation by the participating organizations. New procedures and data processing capabilities are evolving as the Theater efforts mature. There is a constant turnover of personnel. This requires that each command, in order to maximize the success of their assessments, integrate TMD specific training requirements throughout the planning process. Figure 4 and subsequent paragraphs present a suggested model for this training.

The CINCs should periodically review problem areas and lessons learned from their previous assessments and from assessments performed in other theaters. These reviews will help identify training shortfalls and requirements for training to integrate new procedures and equipment.

**Leader Training.** The CINCs should plan for leader training prior to each assessment. The purpose of leader training is to ensure that leaders at each critical TMD node understand their contribution to the TMD mission and how to perform their TMD functions. Effective leader training enables leaders to be the TMD trainers for their respective organizations during the exercise. It also helps to unify the TMD effort among the various participating nodes and enables the CINC to begin the exercise at a higher level of proficiency in TMD.

**Integration Training.** Wherever new equipment, operational procedures, or personnel will be involved in an assessment, there is a requirement for integration training. Failure to conduct integration training prior to an assessment virtually assures that the affected node will be ineffective at the start of the assessment.

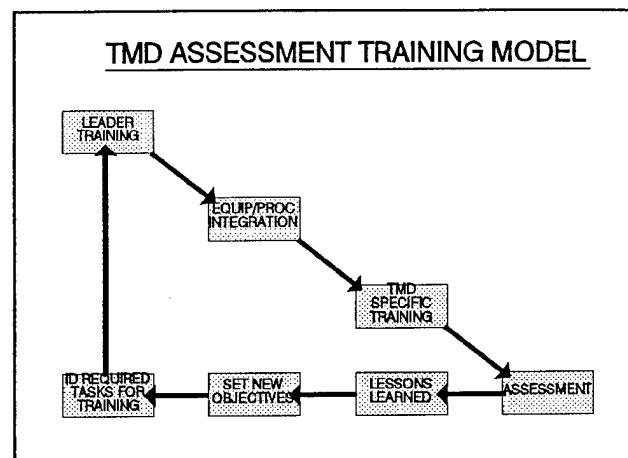
**Pre-Assessment Training.** Prior to beginning a TMD Assessment, the CINCs should plan a training exercise for TMD only events. The pre-assessment training period is valuable because it enables a check of TMD communications, integration of procedures and equipment, and the pace can be adjusted to a level supporting learning by the participants. Pre-Assessment training will help preclude TMD personnel entering a theater RUN-LEVEL exercise at a CRAWL-LEVEL of proficiency. Pre-Assessment training can also be a vehicle to validate simulation support and data collection procedures.

**After Action Reviews.** During and after all TMD related assessments, the CINCs should plan to conduct After Action Reviews (AAR). The AARs help participants visualize what happened during the assessment, develop solutions to problem areas, and reinforces lessons learned. The data collection effort should help paint what happened in support of the after action reviews. Detailed coordination between Subject Matter Experts and the Data Collection Working Group is required to ensure that the right data is collected and reduced in a timely manner to support AARs.

## EXECUTION.

During execution of a TMD Assessment, it should be expected that key members of the Project Planning Group will become exercise participants. Care should be taken in the selection of personnel on the Project Planning Group so that there are sufficient personnel with the right expertise to formulate a White Cell during the exercise to control execution. The White Cell must be capable of coordinating TMD activity with the Opposing Force (if there is one), overseeing simulation and data collection support, facilitating after action reviews, briefing/escorting VIPs, and interfacing with non-TMD White Cell activity. Leadership of the White Cell normally is provided by the theater staff, however, BMDO/AQJ will perform this function whenever the CINC is unable.

**Figure 4.**



## RESULTS AND LESSONS LEARNED.

An important aspect of the CINCs' TMD Assessment Program is to document the assessments and lessons learned from them. The primary focus of the data collection effort is to document what happened. Interviews with exercise participants and AAR comments should be recorded to help document lessons learned. These observations should be included in an assessment report. The assessment report should be published as soon as possible after conclusion of the assessment, while the exercise is still fresh. The CINCs should also input the lessons learned into JULLS as soon as possible after conclusion of the TMD Assessment. Trade-offs between completeness and responsiveness should be discussed between the theater and the data collector.

BMDO/AQJ personnel are tasked to ensure that lessons learned are exchanged between theaters and disseminated to TMD developers (BMDO, Service sponsors, and PEOs). Each theater will be provided a copy of the assessment report from each of the other participating theaters. BMDO/AQJ personnel will attend each CINC Assessment (normally working in White Cell positions) to facilitate an information exchange. In addition, BMDO will coordinate occasional workshops designed for the CINCs to exchange information and discuss ideas. Additionally BMDO/AQJ will brief developer forums or request CINC representatives brief developers periodically to ensure these lessons are disseminated.

Each year, BMDO will publish a consolidated lessons learned document. This document will summarize the problems encountered in each theater, discuss what solutions were attempted, and assess the effectiveness of the solution. Copies of this document will be made available to each of the theaters, developers, and to various doctrine producing agencies.

## CINC SUPPORT.

Experience has shown that CINCs lack the manpower to manage the CINCs TMD Assessment Program on a full time basis. To aid the CINCs in the management of the program, a uniformed officer from BMDO/AQJ is assigned to each of the participating theaters to coordinate their support effort. In addition, BMDO maintains contracts with organizations who provide TMD expertise. BMDO provides manpower from these contractors directly to the CINCs to help the CINC perform the day to day functions of the TMD Assessments Program. The cost of these contractors is funded from the CINCs execution budget. It is imperative that the CINCs determine their contracted support requirements early, during the budgeting cycle, to ensure that the right amount of contractor support is available to meet the CINCs needs.

## CONCLUDING REMARKS.

Procedures outlined in this SOP are provided as guidance to the CINCs. They are not binding or meant to reduce the CINCs flexibility in any way. These procedures are necessary, however, to provide a standard methodology supporting execution of the program and add predictability. This Standard Operating Procedure will be reviewed at 6 month intervals and updated as required.



JOHN M LANGKNECHT  
CAPT USN  
Director, BMDO/AQJ

Distribution:

- 1 - each BMDO/AQ Directorate
- 1 - each Participating Theater
- 1 - each Supporting Agency/Organization

1 Annex, as

CINC ASSESSMENT PLANNING WORKSHEET

Exercise Title:	
Concept:	
OBJ NO	OBJECTIVES
OBJ NO	CINC DATA COLLECTION REQUIREMENTS

CINC ASSESSMENT PLANNING WORKSHEET

Exercise Title:			
IPR SCHEDULE			
IPR NO	DATES	LOCATION	
IN HOUSE TRAVEL REQUIREMENTS			
WHO	WHEN	WHERE	EST COST

CINC ASSESSMENT PLANNING WORKSHEET

Exercise Title:			
CONTRACTOR SUPPORT REQUIRED			
PRODUCT/ACTIVITY	WHEN REQUIRED	EST MAN MONTHS	
EXPERIMENTAL SYSTEM REQUIREMENTS			
OBJ NO	ITEM DESCRIPTION	DURATION	EST COST

CINC ASSESSMENT PLANNING WORKSHEET

Exercise Title:			
SERVICES REQUIRED			
OBJ NO	ITEM DESCRIPTION	DURATION	EST COST
LEASED/BORROWED EQUIPMENT			
OBJ NO	ITEM DESCRIPTION	DURATION	EST COST
PURCHASE REQUIREMENTS			
OBJ NO	ITEM DESCRIPTION	DURATION	EST COST